

Directive

462.1

12/7/88

PERFORMANCE APPRAISAL UNDER THE PERFORMANCE MANAGEMENT SYSTEM

I. PURPOSE

This Directive:

A. Establishes a tool for managers to use by linking performance appraisals to personnel actions; i.e., promotions, reassignments, within-grade increases (WGI), merit increases, performance awards, quality step increases, removals, reductions-in-grade, retention under reduction-in-force procedures, and training.

B. Provides a Guide of basic regulations and procedures to be followed in the Performance Management Process. The Guide also outlines basic responsibilities of APHIS employees under the Performance Management System.

II. REPLACEMENT HIGHLIGHTS

This Directive replaces APHIS Bulletin 87-13, dated 8/27/87, entitled Performance Appraisal under the Performance Management System.

III. SCOPE

The Performance Management System applies to all APHIS employees (including Foreign Service and Senior Foreign Service employees) unless specifically excluded in the attached Guide.

IV. POLICY

It is APHIS policy to follow the USDA Performance Management System and to rate employees fairly and equitably in line with the principles stated in the Department's Plan.

Operating guidelines for the APHIS Performance Management System are given in the attached guide.

VI. HOW TO USE THE GUIDE

A. The guide includes operating procedures and responsibilities for the Performance Management System. A Table of Contents is included for help in locating information.

Distribution G03

Expiration Date: 12/31/91

Originating Office: HRD - CSC

B. Chapter 1 of the Performance Management Guide contains a glossary of performance management and related terms which is helpful in understanding the meaning of terms and phrases used in performance laws and regulations.

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**United States
Department of
Agriculture**

**Animal and
Plant Health
Inspection
Service**

**APHIS Dir.
462.1**

Guide to Performance Appraisal Under the Performance Management System

GUIDE TO PERFORMANCE APPRAISAL
UNDER THE PERFORMANCE MANAGEMENT SYSTEM

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CHAPTER 1

GENERAL INFORMATION

I. COVERAGE

The Performance Management System Plan applies to all APHIS employees (including Foreign Service (FS) and Senior Foreign Service (SFS) employees) unless specifically excluded below.

A. Persons who are employed in the following non-Performance Management and Recognition System (PMRS) positions are excluded when employed under appointments limited to 1 year or less or when employees are serving on intermittent tours of duty:

1. Positions filled under 5 CFR 213.3102 (g) when occupied by nontemporary part-time or intermittent employees whose compensation during his/her service year will aggregate no more than 40% of the annual salary rate for the first step of grade GS-3.

2. Positions filled under 5 CFR 213.3102 (k) when occupied by employees to whom no compensation is paid.

3. Positions filled under 5 CFR 213.3102 (l) when occupied by scientific, professional, or technical experts for consultation purposes.

4. Positions filled under 5 CFR 213.3102 (o) when occupied by faculty members.

5. Positions filled under 5 CFR 213.3102 (p) when occupied by graduate students.

6. Positions filled under 5 CFR 212.3102 (q) when occupied by students working intermittently or on a part-time basis while attending school. However, this exclusion does not apply to any position occupied by a cooperative student who may become eligible for noncompetitive conversion to a competitive service appointment.

7. Positions filled under 5 CFR 213.3102 (v) when occupied by temporary summer aids.

8. Seasonal positions filled under 5 CFR 213.3102 (y) when occupied by finalists in national science contests.

B. Persons who are employed in the following non-PMRS positions when filled by individuals who are expected to work less than 120 consecutive calendar days for the same supervisor under an appointment limited to 1 year or less:

1. Positions filled under 5 CFR 213.3113 (a)(5) when occupied by State performance assistants, field assistants, or forest workers, except that this exclusion applies for up to 220 working days in a service year when positions are occupied by individuals providing emergency services.

2. Positions filled under 5 CFR 213.3102 (w) when occupied by students appointed under the Stay-in-School Program.

C. Persons employed in positions in the excepted service for which employment is not reasonably expected to exceed 120 calendar days in a consecutive 12-month period.

Although the above group of employees is exempted from the requirements of this User Guide, that exemption does not prohibit the Agency from maintaining records of work, nor does it prevent the Agency from recommending or taking administrative action involving such personnel. Supervisors are strongly encouraged to maintain standards of expected performance for these employees.

II. DEFINITIONS

A. Appraisal Period. The period of time established by an appraisal system for which an employee's performance will be reviewed. The appraisal period for APHS employees is October 1 to September 30, except for FS employees. The appraisal period for the FS and SFS is July 1 to June 30.

B. Appraisal Unit. The weighted value assigned to critical and noncritical elements.

C. Decision Table. A matrix used for deriving a summary rating from appraisal of individual elements. (See Chapter 2, Table 1.)

D. Critical Element. A component of a position consisting of one or more duties and responsibilities which contributes toward accomplishing organizational goals and objectives. A critical element is of such importance that "Unacceptable" (for SES "Unsatisfactory") performance on the element would result in "Unacceptable" ("Unsatisfactory") performance in the position.

E. Element Rating. The level of performance on each individual element determined by comparing accomplishments to the performance standard. Element rating levels are: "Exceeds Fully Successful," "Fully Successful," and "Does Not Meet Fully Successful."

F. Non-critical Element. A component of an employee's position which does not meet the definition of a critical element, but is of sufficient importance to warrant written appraisal and the assignment of an element rating.

G. Performance Management System. The total process of integrating performance, pay, and incentive systems with basic management functions to improve individual and organizational effectiveness. The performance appraisal process is basic to the foundation of performance management.

H. Performance Management and Recognition System (PMRS). The system that applies to employees in positions meeting the definition of "supervisor" or "management official" as defined in 5 U.S.C. 7103 (a)(10) and (11) and who are classified at grade levels 13, 14, or 15.

I. Performance Plan. The written critical and noncritical elements and performance standard(s) of the employee's position.

J. Performance Standard. The expected level of performance established by management for a critical or noncritical element at a particular rating level.

K. Rating Official. The individual who is responsible for informing the employee of performance elements (both critical and non-critical) of his/her position, establishing performance standards for those elements, appraising performance, and assigning the performance rating. Normally, this is the employee's immediate supervisor.

L. Rating of Record. The summary rating required at the time specified in this issuance, or at such other times specified for special circumstances. For PMRS employees, this includes the written notice at any time that an employee's performance is "Unacceptable" on one or more critical elements.

M. Reviewing Official. The supervisor who assigns, controls, and is responsible for the work of the rating official, normally the rating official's immediate supervisor and the employee's second level supervisor. In the event that the position of "Reviewing Official" is vacant, the next higher level official in the chain of command may serve in this capacity.

N. Summary Rating. The written record of performance, the appraisal of each critical and noncritical element, and the assignment of a summary rating level. Summary rating levels are "Outstanding," "Superior," "Fully Successful," "Marginal," and "Unacceptable." (See Chapter 2, Tables 1 and 2.)

III. RESPONSIBILITIES

A. Supervisors/Managers shall:

1. Review performance appraisal elements and standards at the beginning of the appraisal period and indicate concurrence by signing the performance plan.

2. Review ratings assigned employees by lower level supervisors prior to the discussion between the supervisor and the employee.

3. Change ratings, when appropriate and necessary, after consultation with rating supervisor. The reasons for any changes should be substantiated and documented.

4. Sign the performance evaluation. Both the supervisor's and the reviewing official's signatures should precede the employee's signature. When this is not possible, provide documentation that the reviewing official reviewed and concurred with the evaluation prior to the discussion with the employee.

5. Designate a distribution point and make proper distribution of Form AD-435, Performance Appraisal, and review the form for accuracy and completeness.

6. Ensure that evaluations are conducted for all employees covered by this Guide.

The above responsibilities may be redelegated to lower management levels above the rating supervisor level.

B. Rating Supervisors shall:

1. Establish performance elements and standards in consultation with employees.
2. Submit performance elements and standards to higher level supervisors for review, and for resolution when disagreements occur.
3. Provide employees with written and signed performance elements and standards for the position.
4. Conduct mandatory semiannual progress reviews to advise employees of their performance (this is the minimum required). Quarterly reviews are encouraged. The supervisor and the employee should initial and date the appropriate block of form AD-435A to document that the progress review has taken place.
5. Maintain information about employees' work assignments and performance, such as samples of employees' work products and documentation of accomplishments showing their progress.
6. Submit performance appraisal ratings of record to reviewing official for concurrence and signature before communicating them to employees. Supervisors must also submit a narrative appraisal for each FS and SFS member under their supervision.
7. Submit completed Form AD-435, intact, to designated distribution points.

C. Employees shall:

1. Inform their supervisors whenever they feel their assigned job tasks have changed significantly from the standards that were established for the rating period.
2. Participate in the establishment of their performance elements and standards.
3. Perform their assigned duties and responsibilities at or exceeding the established "Fully Successful" level.

D. FS Selection Boards. The FS has two selection boards. They are the Intermediate Selection Board and the SFS Selection Board.

1. The Intermediate Selection Board shall:

- a. Review and evaluate performance folders, completed AD-435's, and narrative appraisals of FS members in classes FP-2 and below.
- b. Rank FS members in the order of their relative merit, in accordance with the Board's precepts; and

c. Make recommendations for:

- (1) Promotions to the next higher class.
- (2) Meritorious step increases and cash awards.
- (3) Denial of scheduled within-class increases to members whose performance during the most recent rating period is deemed to be below the standard of performance of their class.
- (4) Identification of employees to be considered for possible selection-out for poor performance.

2. The SFS Selection Board shall:

a. Review and evaluate performance folders, completed AD-435's, and narrative appraisals of FS members in the SFS and in the FP-1 class with those of equivalent Foreign Agricultural Service employees;

b. Rank SFS members in the order of their relative merit, in accordance with the Board's precepts; and

c. Make recommendations for:

- (1) Promotions to the next higher class.
- (2) Award of performance pay to SFS career members.
- (3) Additional within-class step increases for especially meritorious service.
- (4) Denial of within-class step increases to members whose performance during the most recent rating period is deemed to be below the standards of performance of their class.
- (5) Members to be considered for possible selection-out for poor performance.

3. The Performance Standards Board (PSB) shall be convened to independently determine on the basis of their precepts whether referred career or career candidate members of the Service should be mandatorily retired for failure to meet the "standards of performance for their class." Members who wish to challenge a PSB designation for selection-out may appeal to a Special Review Board or file a grievance in accordance with 3 Foreign Affairs Manual (FAM) 660.

4. The Special Review Board (SRB) shall be convened to conduct an administrative review of PSB decisions to mandatorily retire career members of the FS when requested by members. Members of the Service identified for selection out will be retired from the Service unless such action is reversed through the appeal process.

E. The Human Resources Division shall:

1. Develop policy, conduct reviews, and provide advice to Field Personnel Services, Washington Personnel Services, Regional Employee Relations Specialists, and the Foreign Programs Support Staff.

2. Negotiate/consult with recognized labor organizations on appropriate aspects of the performance appraisal system.

F. Regional Employee Relations Specialists:

1. Provide specific guidelines to Managers on the development and review of performance standards.

2. Review Performance Ratings for conformance with requirements before transmittal to FSO.

CHAPTER 2

APPRAISAL REQUIREMENTS

I. PERFORMANCE ELEMENTS AND STANDARDS

A. Methods. Performance elements and standards are established using position descriptions, work plans, instructions, project proposals, goals, targets, job analyses, equal employment opportunity action plans, individual development plans, and any other source that assigns or fixes responsibility for accomplishment of work.

B. Number of Elements. A minimum of 3 elements must be used, but normally no more than 10 elements will be used. At least one, but not all elements, must be identified as critical. NOTE: An employee cannot be rated unless at least three elements have been performed.

C. Use of Subelements. Subelements may not be used. However, this restriction does not preclude further specifications of work within an element as long as only one rating level is assigned per element.

D. Performance Standards. Performance standards need only be defined at the expected level of performance which is "Fully Successful." The absence of a written standard at the "Exceeds" or "Does Not Meet" level will not preclude the assignment of an element rating at those levels. Each standard should be stated clearly so that the supervisor and employee understand what is expected and can determine whether the standard has been met. The specific indicators of quantity, quality, timeliness, manner-of-performance, or cost-effectiveness may be used to evaluate performance. Performance can be determined by counts of work processed, spot-checks of work, review of final product, or number of valid complaints received. A quantitative measure of what an employee has accomplished may be expressed in terms of output, such as number of cases processed or closed, items produced, and amount of time used. Qualitative measures may include such things as the number of items rejected, recommendations adopted, clarity of reports, valid complaints received, or errors made. Standards may also be based on observable work behavior (how a job is done, rather than what is accomplished).

II. GENERIC ELEMENTS AND STANDARDS

A. Where there are like or identical positions, generic critical and noncritical elements and performance standards may be developed.

B. While like positions are assigned similar or identical duties and responsibilities, the specific number, degree, or other indicators of output in the final performance standards may vary for individual positions. For example, while two positions in the same agency may both have a responsibility and a similar element for conducting inspections, the number of inspections per inspector may vary from one location to another, depending on factors such as travel time required, type of inspections to be conducted, etc. Further, one of these employees may have an additional assigned responsibility not found in the other job. Thus, while the elements and standards for like or identical positions are similar, the rating official must seek to tailor generic elements and standards to the individual job situation.

III. APPRAISAL PROCESS

A. Employee Participation in Establishing Elements and Standards. Elements and standards must be based on an employee's position. The identification of performance elements and establishment of performance standards requires joint participation of the supervisor and the employee. Joint participation may be accomplished by means including, but not limited to, the following:

1. Employee and supervisor discuss and develop the performance plan together,
2. Employee provides supervisor with a draft performance plan,
3. Employee comments on draft performance plan prepared by the supervisor, or
4. Employee prepares performance plan with other employees who occupy similar positions.

Final authority for establishing elements and standards rests with the first and second level supervisors.

B. Communication of Performance Plans.

1. Within 30 days of the beginning of each appraisal period, the supervisor shall communicate to the employee written performance elements and standards for the position. Forms AD-435A and B shall be used for this purpose (see Chapter 4, Tables 1 and 2, for examples). A copy of the elements and standards must be provided to the reviewing official for approval. Reviews of performance plans are made to ensure appropriate levels of quality and difficulty of performance standards within each employee's plan. Each program should determine its own procedures for these reviews and publish them internally within 30 days of the beginning of the appraisal period.

The communication of performance standards between the rating official and the employee shall include, to the extent practicable, face-to-face discussions. Alternatives to face-to-face discussions include telephone conversations or local meetings with groups of employees who occupy similar or identical positions.

2. Within 30 days of an employee's assignment to a position (e.g., promotion, temporary promotion or detail for 120 days or more, reassignment, or transfer), written performance elements and standards shall be established, approved by the reviewing official, communicated, and a copy provided to the employee.

3. Performance elements and standards shall be reestablished or revised each time a work assignment changes significantly, whether or not the work assignment change requires a personnel action. Employees must be informed and provided an opportunity to participate in any revisions and changes made to their written elements and standards. Employees must be afforded an opportunity to perform under reestablished or revised standards for a minimum of 90 days.

C. The Appraisal Period. The appraisal period is normally 12 months. Ninety days is the minimum amount of time in which a supervisor can make an objective appraisal. A rating of record may not be given unless elements and standards have been established and communicated to the employee and the employee has served under those elements and standards in the current position for at least 90 days. This means that the supervisor, the reviewing official, and the employee must have signed and dated the performance elements and standards at the bottom of the Form AD-435A, at least 90 days prior to the appraisal date. Ratings may be based only on actual employee accomplishments; "presumptive" ratings of record are prohibited.

The appraisal period for employees is October 1 to September 30, except for FS and SPS employees. The appraisal period for the FS and SPS is July 1 to June 30.

IV. PROGRESS REVIEW

Progress reviews shall take place 6 months from the beginning of the appraisal cycle, although quarterly reviews are encouraged. Feedback from the rating supervisor is required to ensure that employees are provided specific information about their performance against established standards, and guidance about areas of performance needing improvement (as well as how improvement can be made) throughout the appraisal period cycle. In addition, such reviews can provide an opportunity for counseling and training to the successful employee for the purpose of developing more advanced skills for potentially more complex assignments. A progress review is not in itself a rating.

V. MEASURING PERFORMANCE

A. Appraisal Elements. A three level rating system will be used to appraise performance on each element. The three element rating levels are "Exceeds Fully Successful," "Fully Successful," and "Does Not Meet Fully Successful." To assist supervisors in making a decision on employees' overall performance, the following examples serve as guidelines:

1. Exceeds Fully Successful. This level includes the range of performance which exceeds what is normally expected of an individual. Performance might include such indicators as:

- a. Others seek this individual's counsel based on demonstrated knowledge.
- b. Personal commitment to a high level of performance is evident.
- c. Quality and timeliness of results are never in question, even under challenging circumstances.
- d. Employee takes initiative in identifying challenging work goals and in mapping out solutions to achieve maximum results.
- e. Accomplishments are more than expected.
- f. Each job is done thoroughly and on a timely basis.

g. Employee continually provides "extras," exceeding requirements, and needing practically no direction or supervision.

h. Employee thinks beyond details of the job, working toward the overall objective of the organizational unit.

i. Decisions and actions have paid off to a higher degree than would be expected.

2. Fully Successful performance is what is expected of the majority of employees. Some indicators of performance at this level are:

a. Employee almost always completes work on schedule and demonstrates a sound balance between quality and quantity.

b. Employee prioritizes problems and works well, requiring only normal supervision and followup.

c. Errors are minimal and seldom repeated.

3. Does Not Meet Fully Successful.

a. This level of performance includes a range of performance where, if the same level of work effectiveness existed throughout the organizational unit, some goals would not be met. Performance might include indicators such as:

(1) The employee may need pushing and followthrough but does the job under close supervision.

(2) Employee cannot always be depended on to complete assignments or perform steady work unless supervisor keeps checking.

(3) The employee has been on the job long enough to have shown "Fully Successful" performance but must be made aware of performance deficiencies.

(4) Employee would be better off in some other job with lesser qualifications, and probably recognizes that the job isn't getting done.

(5) Employee fails to grasp the situation despite numerous explanations, and the supervisor may have to redo or reassign work because the employee's work had technical or procedural errors or omissions that are not expected of workers at that grade level.

(6) Adverse comments may arise from clients, industry, or trade concerning performance.

b. An employee appraised "Does Not Meet Fully Successful" in any critical element must receive a summary rating of "Unacceptable" and corrective action must be taken consistent with Chapter 3, II., F.

B. Documentation of Accomplishments or Deficiencies. At the end of the appraisal period, the rating supervisor documents the employee's performance on

Forms AD-435A and B. (See Chapter 4 for illustration of completed forms. Detailed instructions are contained on the reverse of Form AD-435A.) Performance shall be documented as follows:

1. The supervisor should keep notes referring to samples of work, completed projects or reports, production data, direct observation, feedback from third party sources, or a record of significant events as they occur in the employee's performance. Such notes are valuable in recalling work done earlier in the appraisal period and ensure that an appraisal is based on concrete evidence known to the supervisor.
2. If the performance is at the "Fully Successful" level, the checkoff block may be used, and no written narrative of performance is required.
3. When an element has been appraised "Does Not Meet Fully Successful," the rationale for the decision must be documented citing the specific instances of performance. The documentation should cover when, where, what, and how the employee's job performance is deficient. Instances, work products, or other performance problems leading the supervisor to conclude that the performance "Does Not Meet Fully Successful" should be cited. If the performance indicates a lack of knowledge of regulations or technical expertise, this should be noted.
4. A brief narrative describing instances of performance accomplishments shall be prepared for elements appraised "Exceeds Fully Successful" only when a summary rating of "Outstanding" is assigned.

C. Summary Ratings. Once the elements are appraised, the summary rating is calculated using the Decision Table and recorded on Form AD-435. The five required summary rating levels follow (see examples in Table 2):

Outstanding. Performance which far exceeds what is normally expected. Performance on each element (critical and noncritical) is rated at "Exceeds Fully Successful."

Superior. Performance beyond what is expected. There are more appraisal units at "Exceeds Fully Successful" than at "Fully Successful" and none are below "Fully Successful." Performance at this level demonstrates that the employee seizes initiative in development and implementation of challenging work goals. Employee thinks beyond details of the job, working toward the overall objective of the organizational unit.

Fully Successful. Performance that is expected of the majority of employees and does not require significant improvement. Any combination of appraisal units which falls between "SUPERIOR" and "MARGINAL" is considered to be "FULLY SUCCESSFUL" performance. Errors are minimal and seldom repeated. Employee prioritizes problems and works well, requiring only normal supervision and followup. Employee almost always completes work on schedule and demonstrates a sound balance between quality and quantity.

Marginal. Performance which needs improvement to achieve the "Fully Successful" level.

NOTE: A "Marginal" summary rating can be derived only when a rating of "Does Not Meet Fully Successful" is assigned to noncritical elements, and more appraisal units are at "Does Not Meet" than at "Exceeds." The "Marginal" level is recognized substandard performance when the supervisor feels that overall performance is less than acceptable, and where improvement is expected. The employee is not removed from the job, but any within-grade increase (WGI), or merit increase for PMRS employees, for which the employee might be eligible, will be denied.

Unacceptable. Performance which does not meet established "Fully Successful" performance standards in one or more critical elements of the employee's position.

D. Weights. The weighting of critical and noncritical elements is built into the Decision Table through the use of appraisal units, and automatically occurs when the Decision Table is used to convert element ratings to the summary rating. Critical elements shall be assigned two appraisal units and noncritical elements assigned one appraisal unit.

E. Multiple Appraisals. Multiple appraisals of performance made during the appraisal period must be considered in deriving the employee's next rating of record. The supervisor serving at the end of the appraisal period completes and signs the AD-435. If the total number of elements during the year is less than 10, all elements are listed on the AD-435. But, if the employee's total number of elements exceeds 10, the appraisal supervisor (with input from previous supervisor(s) and the employee) determines how to combine and weigh the elements.

1. Details. Performance elements and standards shall be established for an employee who is detailed or temporarily promoted for 120 days or more to another position in the Agency or the Department. The supervisor responsible for the detail or temporary promotion shall prepare elements and standards and communicate them in writing to the employee within 30 days of the start of the detail or temporary promotion. A summary rating shall be prepared to document the employee's accomplishments at the end of the detail or temporary promotion and forwarded to the employee's supervisor for appropriate consideration.

When details are less than 120 days in duration, written performance elements and standards are not required, but some documented record of performance should be kept and provided to the employee's permanent supervisor. When an employee is detailed outside of the Department, a reasonable effort must be made to obtain appraisal information from the outside organization.

2. Developmental Assignments. When an employee participates in developmental programs, such as Upward Mobility, the Women's Executive Leadership Program, the Senior Executive Service Career Development Program/Senior Management Preparation Program, etc., supervisors must seek input from the supervisor of the developmental assignment and have some documented record of performance. An employee in one of these programs will rotate through different offices and the duration may be less than 90 days. This will enable the supervisor to adequately assess employee accomplishments during the appraisal period.

3. Change in Supervisors. When an employee works under different supervisors during the appraisal period, each supervisor of 90 days or more shall prepare a summary rating and forward it for appropriate consideration to the employee's supervisor.

4. Position Changes. When an employee changes positions during the appraisal period and has served for the minimum appraisal period in the old position, a summary rating shall be prepared and taken into consideration when deriving the next rating of record.

5. Transfer of Rating. If an employee moves to a new agency, department, or new organizational unit at any time during the appraisal period, a summary rating must be prepared and transferred with a copy of the employee's performance standards in the Employee Performance File (EPF) to the gaining unit (see Chapter 4, C.). This appraisal must be taken into consideration by the gaining organization when deriving the next rating of record.

F. Inability to Rate. When a rating of record cannot be prepared, the appraisal period shall be extended for the amount of time necessary to meet the minimum appraisal period, at which time a rating of record shall be prepared. For PMRS employees call your servicing personnel office.

G. Appraisal of Disabled Veterans. The performance appraisal and resulting rating of a disabled veteran may not be lowered because the veteran has been absent from work to seek medical treatment as stated in Executive Order 5396.

H. Conversions. When an employee's position is converted from another Federal pay system with no change in duties or responsibilities, the employee's rating of record will be considered to have been based on the position which the employee occupies after the conversion.

I. Collateral Duties. An employee performing officially assigned collateral duties must be given a performance appraisal which reflects both the primary duties and responsibilities and the collateral duties. This is a joint responsibility of the primary supervisor and the collateral duty supervisor.

J. Employee's Certification. After obtaining the concurrence of the reviewing official, the supervisor shall review the approved rating of record with the employee. The employee's signature on Form AD-435 shall serve as certification that such a discussion took place. If this discussion cannot be held, the supervisor shall document the reason on Form AD-435.

NOTE: Appraisal forms for PMRS employees must be forwarded to the Funding Unit Manager by the Reviewing Official. The Funding Unit Manager will forward the original copy of the AD-435 to FSO and the remaining copies back to the reviewing official for distribution to first-level supervisors. Supervisors will then meet with individual employees to discuss the appraisal and to obtain the employee's signature on the AD-435.

CHAPTER 3 APPEALS AND RELATED PERSONNEL ACTIONS

I. GRIEVANCES

- A. PMRS (GM) employee grievances are handled through dispute resolution procedures. Agency PMRS employees should consult APHIS Directive 460.5, Administrative Grievance Procedure, for guidance.
- B. Non-PMRS (GS and WG) employee grievances are handled in accordance with the procedures contained in APHIS Directive 460.5, or in accordance with the negotiated grievance procedures under the contract when there is an employee - organization representing employees. However, only one procedure may be used by the employee.
- C. FS and SFS employees may file a grievance in accordance with 3 FAM 660.
- D. SES employees cannot grieve their performance ratings.

II. LINKAGE TO OTHER PERSONNEL ACTIONS AND DECISIONS

Performance appraisals are used as a basis for the specified personnel actions below:

- A. WGI. An eligible employee may be granted a WGI only when the employee's rating of record is "Fully Successful" or better. The decision to grant or withhold a WGI is based upon the employee's rating of record within the appropriate waiting period. When a WGI decision is not consistent with the employee's most recent rating of record, a more current rating of record must be prepared.
- B. Promotion. Performance ratings shall be considered in evaluating an employee for promotion and/or reassignment to a position with greater promotion potential. An employee shall only be considered for a career promotion when the current rating of record is "Fully Successful" or higher, and the employee has demonstrated the ability to perform at the next higher grade level. An employee may be given an advisory rating, for Merit Promotion purposes only, if he/she has not been under written performance elements and standards for the minimum appraisal period necessary to give the employee a rating of record (i.e. 90 days) and the employee does not have a rating of record from the previous rating period. This rating may not be used as a rating of record and is strictly for use when a supervisory appraisal is required for rating under Merit Promotion procedures.
- C. Training and Development. The performance appraisal process may be used as a basis for determining the training needs of employees.
- D. Pay Increases and Performance Awards. Performance ratings shall be used as a basis for granting pay increases and performance awards.
- E. Reduction-in-Force. Performance ratings are used to establish service credit for reduction-in-force (RIF) purposes. For RIF purposes, rating of record means an annual summary rating required at the time specified in this

plan. An employee will not be assigned a new rating of record for the sole purpose of affecting his/her retention standing. Performance ratings that were due before the date of specific RIF notices but were not officially approved and put on record until on or after the date of the specific notices are not used to determine additional service credit. The servicing personnel office will establish a cutoff date for receipt of ratings of record when a RIF will occur at or near the close of an appraisal period.

F. Less than "Fully Successful" Performance.

1. Unacceptable Performance. Notification that performance "Does Not Meet Fully Successful" level in any critical element can occur at any time following the implementation of performance elements and standards. The employee must be afforded a reasonable opportunity period to demonstrate performance improvement. (Supervisors should contact the Regional Employee Relations Specialist or the Employee Conduct and Labor Relations Program, as appropriate, for guidance.) At a minimum, the following will be communicated to the employee in writing:

a. The employee has until the end of the opportunity period of performance observation to improve his/her performance to a level which justifies retention in the position.

b. An explanation of the performance element(s) and standard(s) in which the employee's performance "Does Not Meet Fully Successful" level.

c. Specific goals in terms of time and results expected for levels of progress against each performance standard where improvement is needed, advice about what the employee must do to bring his/her performance up to the "Fully Successful" level, and periodic counseling and review of work by the supervisor.

2. Marginal Performance. When it is noted that any area of an employee's job performance needs improvement, the supervisor shall discuss the need for improvement with the employee. The discussion should include the supervisor's guidance regarding specific actions which should be taken by both parties to improve the employee's performance. Informal performance improvement efforts should be initiated immediately after the supervisor notes the need for improvement. The supervisor should not wait until performance deteriorates to an "Unacceptable" level.

3. Completion of Opportunity Period.

a. If the employee's performance remains "Unacceptable" after the opportunity period, management must reduce in grade, reassign, or remove the employee.

b. If a PMRS employee's "Unacceptable" performance improves to the "Marginal" level, but not to the "Fully Successful" level, the employee, if not reassigned, shall undergo an additional opportunity period to demonstrate "Fully Successful" performance.

CHAPTER 4

FORMS AND RECORDS

A. Appraisal Forms. Appraisals must be recorded on Form AD-435, Performance Appraisal, and a copy provided to the employee. Performance elements and standards shall be documented on Forms AD-435A and B.

B. Filing Performance Ratings. Performance ratings of record for GS and GM employees and the performance plans on which the ratings are based must be filed in the EPF.

Performance ratings for FS and SFS employees are filed in the Foreign Service Official Personnel Performance Folder.

C. Transfer of Performance Ratings.

1. When an employee leaves the organization through transfer, termination, or resignation, supervisors should prepare a summary rating for the employee. All performance ratings of record that are 3 years old or less, including the performance elements and standards on which the most recent rating was based, and the summary rating must be filed in the Official Personnel Folder (OPF). For non-SES employees, all performance ratings and other performance related records more than 3 years old shall be destroyed. SES appraisals and records are maintained for 5 years. 4/2/88

2. Authorized officials responsible for the EPF must ensure that all performance ratings of record 3 years old or less are forwarded with the EPF through appropriate channels to the servicing personnel office for filing in the OPF. Performance ratings of record 5 years old or less must be forwarded for SES employees.

United States Department of Agriculture
Animal and Plant Health Inspection Service

Issuance Change

CHANGE TO

☒ DIRECTIVE

☐ MANUAL

☐ HANDBOOK

CHANGE NO.	TO (No.)	TITLE	DATE
1	462.1	Performance Appraisal Under the Performance Management System	6/14/89

PURPOSE OF CHANGE

To clarify examples of performance standards described in Tables 1 and 2 of Chapter 4 of the Guide attached to the Directive.

FILING INSTRUCTIONS

✓ REMOVE Tables 1, 2, and 3 (undated) and INSERT revised Tables 1, 2, and 3 (dated 6/14/89).

Distribution: G03

Originating Office: HRD - PCLR

UNITED STATES DEPARTMENT OF AGRICULTURE

PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET

(Instructions on reverse)

Name (Last, First, M.I.) OE, Jane	Pay Plan, Series, Grade GS-0318-05	Agency/Division APHIS-M&B-IRRD	APPRAISAL PERIOD	
Position Title Secretary-Typing			From 10-01-87	To 09-30-88
2. PERFORMANCE ELEMENT No. <input type="checkbox"/> (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			<input checked="" type="checkbox"/> CRITICAL <input type="checkbox"/> NONCRITICAL	

Correspondence

3. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

Reviews all correspondence for proper use of grammar, punctuation, capitalization, format, and typographical errors. Draft correspondence will be returned to employee no more than 1 or 2 times to correct errors of this kind. Final correspondence will contain no typographical or nontechnical errors. Typing is returned to originator within 1 day, workload permitting. Prepares guidelines on preparation of correspondence and gives instruction to others in proper use of grammar, punctuation, capitalization, and format. No more than 1 or 2 valid complaints that employee failed to give instruction or gave out incorrect information to others will be allowed.

4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. For instructions about documentation, see reverse.)

☐ EXCEEDS ☐ FULLY SUCCESSFUL
☐ DOES NOT MEET

ACCOMPLISHMENTS

5. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN

Signatures certify discussion with the employee and receipt of plan which reflects current position description.

Employee's Signature <i>Jane Doe</i>	Date 10/05/87
Supervisor's Signature <i>John Smith</i>	Date 10-05-87
Reviewer's Signature <i>Mary Green</i>	Date 10/05/87

6. PROGRESS REVIEWS (at least one must be completed)

Employee's Initials and Date <i>JD 4/1/88</i>	Supervisor's Initials and Date <i>JS 4-1-88</i>
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AD-435A 12/86

Keep in Official Personnel Folder. Do Not Place in General File.

Table 2

SUMMARY RATING EXAMPLES

ELEMENTS	ELEMENT LEVELS	APPRAISAL UNITS
1. Critical Element	Fully Successful	2
2. Critical Element	Fully Successful	2
3. Noncritical Element	Does Not Meet	1

RECAP: 0 - appraisal units Exceeds
4 - appraisal units Fully Successful
1 - appraisal unit Does Not Meet

This summary rating is Marginal because there are more appraisal units at Does Not Meet (1) than at Exceeds (0).

ELEMENTS	ELEMENT LEVELS	APPRAISAL UNITS
1. Critical Element	Fully Successful	2
2. Critical Element	Exceeds	2
3. Noncritical Element	Exceeds	1
4. Noncritical Element	Fully Successful	1

RECAP: 3 - appraisal units Exceeds
3 - appraisal units Fully Successful
0 - appraisal units Does Not Meet

This summary rating is Fully Successful because it falls between definitions of Superior and Marginal.

ELEMENTS	ELEMENT LEVELS	APPRAISAL UNITS
1. Critical Element	Exceeds	2
2. Critical Element	Exceeds	2
3. Noncritical Element	Fully Successful	1

RECAP: 4 - appraisal units Exceeds
1 - appraisal unit Fully Successful
0 - appraisal units Does Not Meet

This summary rating is Superior because more appraisal units are at Exceeds (4) than at Fully Successful (1) and none are below Fully Successful.

TABLE 3

United States Department of Agriculture Performance Appraisal		1 Social Security No. 000-00-0000	2 Position Number	3 Pay Plan GS	4 Occup. Series 0318
5 Name (Last, First, Middle Initial) DOE, JANE		6 Grade/Step or Pay Level 05/02		7 Appraisal Period From 10-01-87 To 09-30-88	
8 Official Position Title Secretary-Typing		9 Organization Structure Code			
10 Duty Station HYATTSVILLE, MD	11 Funding Unit	12 Agency Use		13 NFC Use	
<p>Instructions</p> <p>Blocks 1 through 10, completed by NFC, should be reviewed and, if necessary, corrected. Block 11. Enter funding unit number. Block 14. Enter brief description of performance elements. Block 15A. Check performance elements identified as critical.</p> <p>Blocks 15B, 15C, 15D. Rate actual performance by entering 2 for critical elements and 1 for non-critical elements in appropriate column. Blocks 15E, 15F, 15G. Enter total of each column. Block 15H. Enter total from 15E, 15F and 15G. Block 16A. Check off the correct summary rating described in decision table (16B). Blocks 17 through 22. Self-explanatory.</p>					
14 Performance Elements		15A Critical Element (✓)	15B Exceeds Fully Successful	15C Meets Fully Successful	15D Does Not Meet Fully Successful
1) CORRESPONDENCE		X	2		
2) SORTS AND DISTRIBUTES MAIL				1	
3) OFFICE FILES AND RECORDS SYSTEMS		X	2		
4) MAINTAINS TIME AND ATTENDANCE RECORDS		X		2	
5) PREPARES TRAVEL VOUCHERS			1		
6)					
7)					
8)					
9)					
10)					
16B Decision Table (check off Summary Rating in block 16A)			15E Exceeds 5	15F Meets 3	15G Does Not Meet
Rating of Outstanding if 15E equals 15H. Rating of Unacceptable if any critical element is rated in 15D. Rating of Superior if no element is rated in 15D; 15F is greater than zero; and 15E is greater than 15F. Rating of Marginal if 15G is greater than 15E, and no critical element is rated in 15D. Rating of Fully Successful if none of the above apply. *Unsatisfactory for SES *Minimally Satisfactory for SES			15H Enter total 15E + 15F + 15G = 15H 8		
17 Employee (Check off appropriate box)			16A Summary Rating (See Decision Table in 16B)		
I have a copy of USDA and Agency regulations on employee responsibilities and conduct; I have discussed them with my supervisor and questions have been answered to my satisfaction.			<input type="checkbox"/> Outstanding <input checked="" type="checkbox"/> Superior <input type="checkbox"/> Fully Successful <input type="checkbox"/> Marginal <input type="checkbox"/> Unacceptable <input checked="" type="checkbox"/> Unsatisfactory for SES <input checked="" type="checkbox"/> Minimally Satisfactory for SES		
18 Employee's Signature <i>Jane Doe</i>		Date 10/13/88 If employee did not sign, state reason.			
19 Supervisor's Signature <i>John Smith</i>		Date 10/2/88		20 Reviewer's Signature <i>Mary Green</i>	
21 Approving Official's or Funding Unit Manager's Signature (optional)		Date			
		22 FOR SES ONLY			
		PLA to ES _____ Bonus Amount _____			

Original — NFC Processing Copy

Form AD-435 (11/86)

CH-1
6/14/89